

# Incoming Client Account Transfer



One North Jefferson  
St. Louis, MO 63101

0550 5715-9225 0850 TOA  
 (Branch Number) (Account Number) (EC Number)

Debra M. Selby TFE  
 (Account Name - continued)  
Debra M. Selby Trust  
 (Account Name - continued)  
LIH OTD 7.31.95  
 (Account Name - continued)

Trust  
 (Edwards Account Category) [REDACTED]  
 (Social Security/TIN Number)

In this agreement, "I," "me" and "my" refer to the client and all others who are legally obligated on this account. "Edwards" refers to A.G. Edwards & Sons, Inc.

Please attach the latest Delivering Account Statement.

## DELIVERING ACCOUNT INFORMATION

Caterpillar Trust Co  
 (Delivering Firm Name) (Delivering DTC Number)  
1481 Wilson Springs Rd., Ste 110  
 (Delivering Firm Address)  
Madison, NV 89014  
 (Delivering Firm Address - continued)  
2099 5287 000 Trust  
 (Delivering Account Number) (Delivering Account Category)  
Debra M. Selby TFE  
 (Delivering Account Name)  
Debra M. Selby Trust  
 (Delivering Account Name - continued)

☐ Direct Rollover to  
 (Delivering Account Category) (Edwards Account Category)

## TRANSFER INSTRUCTIONS (check all that apply)

### Entire Account Transfer

- ☒ Transfer - all assets in kind.
- ☐ Liquidate - all assets and transfer proceeds
- ☐ Liquidate - only assets listed in the Asset Listing, transfer proceeds and all remaining assets in kind.

### Partial Account Transfer

- ☐ Transfer assets or proceeds as listed in the Asset Listing.

Mutual Funds - held at Mutual Fund Center IRA or Qualified Plan. List all information in the Asset Listing

CD/Annuity Liquidations - Liquidate and transfer proceeds.

- ☐ Upon Maturity - the maturity date is \_\_\_\_\_  
 (submit 4 weeks before maturity date)
- ☐ Immediately - I acknowledge there may be a penalty and/or surrender charge for a full liquidation.
- ☐ Percent or Amount: \_\_\_\_\_  
 (if not marked, liquidate all.)
- ☐ Penalty-free amount only
- ☐ I have lost my original annuity policy/CD Certificate.
- ☐ I do not want my account placed in a conservation period.  
 (applies to annuities only)

## ASSET LISTING

☐ To add additional assets, attach a signed and dated list.

1. Quantity/All \_\_\_\_\_ CUSIP/Symbol/Cash \_\_\_\_\_

(Asset Description or Fund Name)  
 Transfer Assets (check one) ☐ Sell ☐ In Kind  
 Mutual Fund Account Number \_\_\_\_\_  
 Mutual Fund Dividend Option (check one) ☐ Reinvest ☐ Cash  
 Mutual Fund Capital Gain Option (check one) ☐ Reinvest ☐ Cash

2. Quantity/All \_\_\_\_\_ CUSIP/Symbol/Cash \_\_\_\_\_

(Asset Description or Fund Name)  
 Transfer Assets (check one) ☐ Sell ☐ In Kind  
 Mutual Fund Account Number \_\_\_\_\_  
 Mutual Fund Dividend Option (check one) ☐ Reinvest ☐ Cash  
 Mutual Fund Capital Gain Option (check one) ☐ Reinvest ☐ Cash

3. Quantity/All \_\_\_\_\_ CUSIP/Symbol/Cash \_\_\_\_\_

(Asset Description or Fund Name)  
 Transfer Assets (check one) ☐ Sell ☐ In Kind  
 Mutual Fund Account Number \_\_\_\_\_  
 Mutual Fund Dividend Option (check one) ☐ Reinvest ☐ Cash  
 Mutual Fund Capital Gain Option (check one) ☐ Reinvest ☐ Cash

4. Quantity/All \_\_\_\_\_ CUSIP/Symbol/Cash \_\_\_\_\_

(Asset Description or Fund Name)  
 Transfer Assets (check one) ☐ Sell ☐ In Kind  
 Mutual Fund Account Number \_\_\_\_\_  
 Mutual Fund Dividend Option (check one) ☐ Reinvest ☐ Cash  
 Mutual Fund Capital Gain Option (check one) ☐ Reinvest ☐ Cash

5. Quantity/All \_\_\_\_\_ CUSIP/Symbol/Cash \_\_\_\_\_

(Asset Description or Fund Name)  
 Transfer Assets (check one) ☐ Sell ☐ In Kind  
 Mutual Fund Account Number \_\_\_\_\_  
 Mutual Fund Dividend Option (check one) ☐ Reinvest ☐ Cash  
 Mutual Fund Capital Gain Option (check one) ☐ Reinvest ☐ Cash

6. Quantity/All \_\_\_\_\_ CUSIP/Symbol/Cash \_\_\_\_\_

(Asset Description or Fund Name)  
 Transfer Assets (check one) ☐ Sell ☐ In Kind  
 Mutual Fund Account Number \_\_\_\_\_  
 Mutual Fund Dividend Option (check one) ☐ Reinvest ☐ Cash  
 Mutual Fund Capital Gain Option (check one) ☐ Reinvest ☐ Cash

## PAYMENT INSTRUCTIONS

If payment instructions are not selected, send monies for non-automated transfers by check. Delivering firm fees may apply

- ☐ Wire All Cash Electronically (Federal Wire)
- ☐ Electronically Send All Cash via Automated Clearinghouse (ACH)

CLIENT AUTHORIZATION SIGNATURE AND  
DELIVERY INSTRUCTIONS ARE ON PAGE 2.



AGE 467-007 (0205-99-0607)

Incoming Client Account Transfer

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# AUTHORIZATION TO CHANGE REGISTRATION

(Delivering account category - i.e., joint, single) (Delivering account number)

(Edwards account category) (Edwards account number)

I understand and accept the change of registration and ownership and hold Edwards and the delivering firm harmless from acting on the above instruction.

## CLIENT AUTHORIZATION

If this account is a qualified retirement account, I have amended the applicable plan so it names A.G. Edwards & Sons as successor custodian. Unless otherwise indicated in the instructions, transfer all assets in my account to Edwards. I understand that to the extent any assets in my account are not readily transferable, with or without penalties, such assets may not be transferred within the time frames required by NYSE Rule 412 or similar rule of the NASD or other designated examining authority.

Unless otherwise indicated in the instructions, I authorize the delivering firm to liquidate any nontransferable proprietary money market fund assets that are part of my account and transfer the resulting credit balance to the successor custodian or receiving organization. I authorize the delivering firm to deduct any outstanding fees due them from the credit balance in my account. If my account does not contain a credit balance, or if the credit balance in the account is insufficient to satisfy any outstanding fees due them, I authorize the delivering firm to liquidate the assets in my account to the extent necessary to satisfy that obligation. If certificates or other investments in my account are in my physical possession, I instruct the delivering firm to transfer them in good deliverable form, including affixing any necessary tax waivers, to enable the successor custodian to transfer them in its name for the purpose of sale, when directed by me. I understand upon receiving a copy of this transfer instruction, the delivering firm will cancel all open orders for my account on their books, with respect to the securities being transferred.

I affirm that I have destroyed or returned to the delivering firm all credit/debit cards and/or unused checks issued to me in connection with my securities account.

**AGE 70 1/2 RESTRICTIONS. The following restrictions apply to Qualified Plan Direct Rollover Transfers.** If I am over 70 1/2, I attest that none of the amount to be transferred will include the required minimum distribution for the current year pursuant to the Internal Revenue Code.

- When applicable, I authorize the delivering firm to discontinue all account management agreements immediately. The client will have sole responsibility for investment decisions with respect to the securities, cash and other assets in the client's account until the client hires a new investment manager.
- When applicable, I accept market risk incurred due to required physical mailing of instructions.
- When applicable, I understand that some institutions may not accept liquidation instructions.
- When applicable, I understand I am responsible for all delivering firm fees associated to transferring my account or sending cash electronically.
- I authorize A.G. Edwards & Sons, Inc. to receive information pertaining to my account transfer.

Client Signature Date  
 X Debra M. Selby 11-15-07  
 Client Signature Date  
 X \_\_\_\_\_

Medallion Stamp (HOME OFFICE COMPLETE)

## LETTER OF ACCEPTANCE (Home Office completes)

- ☐ IRA Transfer to Trustee Transfer - A.G. Edwards & Sons, Inc. has established an IRS approved prototype Individual Retirement Account (IRA) complying with IRS Code Sections 408 and 408A. Edwards hereby accepts the IRA to IRA transfer according to the attached instructions.
- ☐ Direct Rollover Transfer - A.G. Edwards & Sons, Inc. has established an IRS approved prototype Individual Retirement Account (IRA) complying with IRS Code Sections 408 and 408A. Edwards hereby accepts the Direct Rollover Transfer according to the attached instructions.
- ☒ A.G. Edwards & Sons will accept custody of the assets.

Home Office Authorized Signature Date  
 X [Signature] 11-15-07

## DELIVERY INSTRUCTIONS TO A.G. EDWARDS BROKERAGE ACCOUNT

### Receiving Firm Information

A.G. Edwards & Sons, Inc.  
 Tax ID number: 43-0895447  
 One North Jefferson  
 St. Louis, MO 63103

Any questions regarding this form should be directed to Customer Account Services at (314) 955-2515

### FED WIRED MONIES

U.S. Bank  
 721 Locust Street  
 St. Louis, MO 63101-  
 838-799-1731  
 ABA number: 081-300210  
 A/C number: 1001270790  
 FBO Edwards account name/account number

### DTIC ELIGIBLE SECURITIES

DTIC Number: 0201  
 FBO Edwards account name/account number

### AUTOMATIC CLEARING

**HOUSE PAYMENT (ACH)**  
 PNC Bank  
 8800 Tinicum Boulevard  
 Philadelphia, PA 19153  
 1-800-677-8380  
 ABA number: 031-00015-7  
 A/C number 904799 and Edwards account number

### GOVERNMENT SECURITIES

Bank of NYC / A.G. Edwards  
 ABA number: 021-000018  
 FBO Edwards account name/account number

### MUTUAL FUND REGISTRATION

Edwards has established a fund account at the Mutual Fund Company. Use the Edwards account number as the BIN number. If a mutual fund account number is required, or the mutual fund cannot be networked call A.G. Edwards at 314-955-2515

### CHECKS/PHYSICAL SECURITY

A.G. Edwards & Sons, Inc.  
 FBO Edwards account name/account number  
 Mail Stop: F220  
 One North Jefferson  
 St. Louis, MO 63103

### LIMITED PARTNERSHIP

A.G. Edwards & Sons, Inc.  
 FBO Edwards account name/account number  
 Mail Stop: F260  
 One North Jefferson  
 St. Louis, MO 63103

### NEW YORK AREA PHYSICAL

A.G. Edwards & Sons, Inc.  
 FBO Edwards account name/account number  
 125 Broad Street, 10th Floor  
 New York, NY 10004

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November 19, 2007

Patrick Baldwin  
Baldwin Law Group  
530 Oak Grove Avenue  
Suite 207  
Menlo Park, California 94025

Re: Selby Accounts

Dear Mr. Baldwin:

Enclosed you will find the dividend and distribution record for the Selby accounts. Ms. Selby is encouraged to review it and submit any written questions that she may have upon receipt.

The two funds still remaining in her trust are CAIBX and CWGIX. As reported in prior communications, the transfer instructions were not sent to Enterprise until the second half of October. The transfer of these funds were effected immediately upon receipt of the paperwork and are still in active transfer status and the mutual fund companies are still in the re-registration process. To be very clear, Enterprise Trust Company has processed the paperwork and the rest of the process lies in the hands of the respective mutual funds. Re-registration of a fund to a new custodian or company is entirely in their control and has nothing to do with any procedure or activity undertaken by Enterprise Trust Company.

The majority of the dividends reflected in the account were paid by the funds in cash. Unless notified by Ms. Gomez on a client by client basis or directed by Ms. Selby, Enterprise Trust Company would not have requested dividend reinvestment from the fund companies.

Any residual dividends will continue to be forwarded to AG Edwards.

Sincerely,

A handwritten signature in cursive script, appearing to read "Rebecca Townsend".

Rebecca Townsend  
Vice President

Counsel  
L. Scott b. GATEY

ATTORNEY FOR Trade Right  
Filed on Behalf of Trade Right  
STATE OF ILLINOIS

COUNTY OF WILL

**FILED**  
ALAMEDA COUNTY  
DEC 19 2007

) SS. CLERK OF THE SUPERIOR COURT  
) BY Pilipino Jungblut  
DEPUTY



RG07362098

**AFFIDAVIT OF GEORGE DRAGEL**

I, George Dragel, being first duly sworn on oath, depose and state that if called to testify as a witness in court, I could competently testify to the following facts, of which I have personal knowledge:

1. I am over 18 years of age and reside in Cook County, Illinois.
2. I am employed by and registered with TradeRight Corp. d/b/a TradeRight Securities ("TradeRight"). TradeRight is a securities broker-dealer duly registered with the Securities and Exchange Commission (SEC) and a member in good standing with the Financial Industry Regulatory Authority (FINRA), and duly licensed to sell securities in multiple states throughout the United States.
3. I am employed by TradeRight in the position of Vice President. I have held this position with TradeRight since in or about 2003. In this position, my duties and responsibilities generally include marketing and operations.
4. I presently understand that Ms. Gomez is or may be seeking judicial relief to, among other things, compel TradeRight to transfer or cause the transfer of certain assets (i.e., mutual funds, stocks, etc.) she contends TradeRight is either holding or controlling.
5. As TradeRight's counsel has informed Ms. Gomez on several previous occasions, TradeRight has not exercised, and is not capable of exercising, any control whatsoever over any of Ms. Gomez's assets.

6. Ms. Gomez is not TradeRight's customer. Ms. Gomez currently has no account agreement of any kind with TradeRight. Rather, Ms. Gomez is or was a customer of Enterprise Trust Company ("Enterprise"). Thus, any directions regarding assets held on her behalf by Enterprise is a matter which Ms. Gomez must raise directly with Enterprise or through another financial institution with which she has established an account.

7. Enterprise is a customer of TradeRight, meaning that TradeRight effects securities transactions at the request and direction of Enterprise for the Enterprise account. TradeRight has no direct relationship with any of Enterprise's customers, and TradeRight effect securities transactions only at the direction of Enterprise, and not any of Enterprise's customers. Thus, with respect to the Enterprise account for which TradeRight is broker of record, TradeRight is authorized to act only upon the valid instruction of its own customer, Enterprise.

8. Since Ms. Gomez is not a TradeRight customer, it cannot take any direction of any kind from her related to the transfer or liquidation of any assets she may own in accounts controlled by various third parties.

9. TradeRight and Enterprise are not now, and never were, related or affiliated companies. TradeRight and Enterprise, which I understand is a state-chartered (Nevada) trust company, are separately owned and controlled. No employee or associate of Enterprise has now, or ever had, express or implied permission or authority to bind TradeRight with respect to any matter. Likewise, TradeRight does not control Enterprise and has no authority or standing to give Enterprise direction or instruction of any kind with respect to Enterprise's customers' assets held by Enterprise.


10. Although on a Form ADV TradeRight submitted to the Investment Advisor Registration Depository (IARD) in or about early 2006, TradeRight identified an entity known as "Enterprise Advisory Group, Inc." as an "other business name" of TradeRight, this was done as I understood it in conjunction with the then-contemplated intention of Enterprise's principals to take the required examination to qualify as investment advisor representatives. Enterprise's principals, however, never became registered as investment advisor representatives. In addition, TradeRight ultimately amended its Form ADV to delete such reference, and TradeRight's current Form ADV on file with IARD does not show Enterprise Advisory Group, Inc. as an other business name of TradeRight. A true and correct copy of relevant pages of TradeRight's Form ADV, filed with IARD on August 24, 2007, is attached hereto as Exhibit A.

11. TradeRight, along with its principals and those of Enterprise, entered into an asset purchase agreement with Ms. Gomez and her broker-dealer firm, Advisory Financial Consultants, Inc., in December 2006. There are currently pending in arbitration before FINRA separate proceedings commenced by TradeRight and Gomez over that transaction and events subsequent to it.

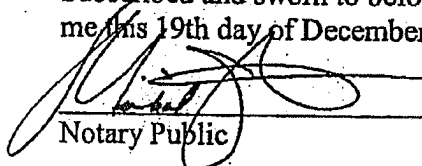
12. Another party to the asset purchase agreement—Locke Haven, LLC—is or was an Illinois limited liability company formed by certain principals of TradeRight and Enterprise but not by TradeRight and Enterprise themselves, for the purpose of funding the initial payment due under the asset purchase agreement. Locke Haven, however, ultimately never engaged in any business activity of any kind.

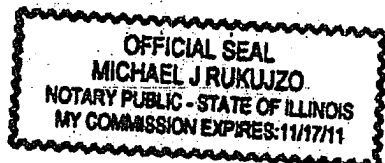


I hereby certify that the foregoing statements are true and correct under penalty of perjury pursuant to the laws of the State of California.

  
George Dragel

Subscribed and sworn to before  
me this 19th day of December 2007

  
Notary Public





ENDORSED  
FILED  
ALAMEDA COUNTY

STATE OF ILLINOIS )

DEC 19 2007

COUNTY OF COOK )

) SS.

CLERK OF THE SUPERIOR COURT

BY ~~PHILIP TUNGHAN~~ DEPUTY

PG07362098

AFFIDAVIT OF JAMES V. GARVEY

I, James V. Garvey, being first duly sworn on oath, depose and state that if called to testify as a witness in court, I could competently testify to the following facts, of which I have personal knowledge:

1. I am over 18 years of age and reside in Cook County, Illinois.
2. I am a shareholder in the law firm of Vedder, Price, Kaufman & Kammholz, P.C. ("Vedder Price"). I have been licensed to practice law since 1994 and have worked at Vedder Price for my entire legal career. I am currently licensed and in good standing to practice law in the following jurisdictions: Illinois; Northern District of Illinois; 7th Circuit Court of Appeal; 9th Circuit Court of Appeals; and 8th Circuit Court of Appeals. I have never been censured, and my law license has never been suspended or revoked, at any time in any jurisdiction.
3. I serve as outside counsel to TradeRight Corp. d/b/a TradeRight Securities ("TradeRight"), including in connection with disputes currently pending between TradeRight and Ruthe P. Gomez.
4. On December 12, 2007, I received by facsimile a letter from Patrick Baldwin, an attorney representing Ms. Gomez. A true and correct copy of Mr. Baldwin's letter is attached hereto as Exhibit A.